

US Department of Commerce Patent and Trademark Office Form PTO-1449 (Modified)			Atty. Docket No.:	Application No.:			
			002821.P001X	Not Yet Assigned			
			Applicant:	#4			
			Jones et al				
Filing Date:							
Concurrently Herewith							
US Patent Documents							
Examiner's Initials		Date	Document Number	Name	Class	Sub-Class	Filing Date
		08/24/82	4,346,442	Musmanno			
		03/15/83	4,376,978	Musmanno			
		06/24/86	4,597,046	Musmanno et al.			
		02/10/87	4,642,767	Lerner			
		03/31/92	5,101,353	Lupien et al	364	408	05/31/89
		06/30/92	5,126,936	Champion et al	364	408	09/01/89
		06/21/92	5,132,899	Fox	364	408	10/16/89
		09/15/92	5,148,365	Dembo	364	402	08/15/89
		06/22/93	5,222,019	Yoshino et al	364	408	10/03/91
		07/13/93	5,227,967	Bailey	364	408	03/20/89
		08/17/93	5,237,500	Perg et al	364	408	02/27/90
		11/28/95	5,471,575	Glansante	395	144	01/03/92
		10/08/96	5,563,783	Stolfo et al	364	408	04/04/95
		11/25/97	5,692,233	Garman	705	36	02/03/95
		07/01/98	5,784,696	Melnikoff	705	36	06/06/95
		11/24/98	5,839,804	Ho	312	223.2	06/22/97
		01/26/99	5,864,827	Wilson	705	35	06/27/97
		01/26/99	5,864,828	Atkins	705	36	08/27/91
		02/23/99	5,875,437	Atkins	705	40	04/15/97
		03/16/99	5,884,285	Atkins	705	36	01/16/92
		06/08/99	5,911,135	Atkins	705	36	04/16/91
		06/29/99	5,918,217	Maggioncalda et al.	705	36	12/10/97
		06/08/99	5,911,136	Atkins	705	36	03/26/97
		06/08/82	4,334,270	Towers			
		02/08/77	4,007,355	Moreno			
		10/10/72	3,697,693	Deschenes et al.			
		01/11/71	3,634,669	Soumas et al.			
		07/01/97	5,644,727	Atkins			
		01/26/88	4,722,055	Roberts			
		05/03/88	4,742,457	Leon et al.			
		06/21/88	4,752,877	Roberts et al.			
		09/27/88	4,774,663	Musmanno et al.			
		09/19/89	4,868,376	Lessin et al.			
		10/24/89	4,876,648	Lloyd			
		12/05/89	4,885,685	Wolfberg et al.			
		06/04/96	5,523,942	Tyler et al.	364	401	03/31/94
		06/18/91	5,025,138	Cuervo			
		01/07/97	5,592,379	Finfrock et al.	395	239	10/06/94
Examiner Thomas A. Diaz			Date Considered 8/22/02				
Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant							

jc525 U.S. P.
09/49/982
02/01/00

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		002821.P001X	Not Yet Assigned
		Applicant: Jones et al	
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US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
D	03/20/90	4,910,676	Aldredge			
D	12/31/96	5,590,037	Ryan et al.			
D	06/12/90	4,933,842	Durbin et al.			
D	01/29/91	4,989,141	Lyons et al.			
D	09/26/95	5,454,104	Steidlmayer et al.			
D	06/15/93	5,220,500	Baird et al.			
D	08/28/90	4,953,085	Atkins			
D	05/03/88	4,742,457	Leon et al	364	408	08/27/85
D	09/15/92	5,148,365	Dembo	364	402	08/15/89
D	07/13/93	5,227,967	Bailey	364	408	03/20/89
D	06/04/96	5,523,942	Tyler et al	364	401	03/31/94
D	11/25/97	5,692,233	Garman	705	36	02/03/95
D	07/21/98	5,784,696	Melnikoff	705	36	06/06/95

Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Class	Sub-	Translation
D	12/01/93	0 572 281 A1	Europe	G06F	15/30		Yes
D	02/29/96	WO 96/06402	PCT	G06F	17/60		Yes
D	10/08/98	WO 98/44444	PCT	G06F	19/00		Yes
D	04/02/98	WO 98/13776	PCT	G06F	17/60		Yes

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

D	International Search Report; PCT/US 98/19920
D	International Search Report; PCT/US 98/19951
D	International Search Report; PCT/US 98/19952
D	International Search Report; PCT/US 98/20709
D	Nikolopoulos and Fellrat, "A Hybrid Expert System for Investment Advising", IEEE, 1994, pp. 1818-1820
D	Eggenschwiler and Gamma, "ET++SwapsManager: Using Object Technology in the Financial Engineering Domain", OOPSLA, 1992, pp. 166-177
D	Sharpe, "Asset Allocation: Management Style and Performance Measurement", The Journal of Portfolio Management, Winter, 1992, Vol. 18, Num. 2, pp. 1-14.
D	"Science and Technology", Business Week, October 7, 1985, p. 108. 3 pages "Financial Planner with <i>Res of Silcon</i> "
D	Fayette Hickox, "Information Technology, Learning about Artificial Intelligence", Institutional Investor, pp. 209-210, July, 1986.
D	Paul Lichtman, "Software: The Professional Plan", Lotus, November, 1986, pp. 121 & 140.
D	Daniel P. Wiener, "Software Packages for Investors", Fortune/1987 Investors Guide, pp. 185-188.

Examiner <i>Thomas J. Dugan</i>	Date Considered <i>8/22/02</i>
Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant	

US Department of Commerce Patent and Trademark Office Form PTO-1449 (Modified)		Atty. Docket No.: 002821.P001X Applicant: Jones et al Filing Date: Concurrently Herewith	Application No.: Not Yet Assigned
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US Patent Documents

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Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)						
©			Woodwell, "Automating Your Financial Portfolio", Second Edition, 1986.			
©			The Funds Management Group, Inc., "Funds Allocation System", Software Update, pp. 1-9, No Date.			
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©			Henry Fersko-Weiss, "Dialing for Profits, Managing the Market", Product Review, No Date.			
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©			Jensen and King, "Frontier: A graphical interface for portfolio optimization in a piecewise linear-quadratic risk framework", IBM Systems Journal, vol. 31, no. 1, 1992, pp.62-70			
©			Schmerken, "Making Risk Analysis Easy As Alpha, Beta", Wall Street Computer Review, 1988, vol.5 #4, pp.8,10,12			
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©			King, "Asymmetric risk measures and tracking models for portfolio optimization under uncertainty", J.C. Baltzer AG, 1993, pp.165-177			
©			"InterFace Institutional Software + Data", Ibbotson Associates, Wall Street Computer Review, 1998, 4 pages			
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©			"Keeping Up With Technology: The 1991 Software Update" Trusts & Estates, pp. 34-67, Jun. 1991.			
©			"Barra Provides Combined Style Analysis and Asset Allocation Capabilities", downloaded from Website http://www.barra.com , in July of 1998.			
©			"EnCorr Products and Services", downloaded from Website http://www.ibbotson.com , in July of 1998.			
©			"Net Results TM, Your On-Line Financial Advisor", downloaded from Website http://www.isnetwork.com , in December of 1997.			
©			Keyes, Jessica. "Expert Allocator: Tools for portfolio optimization." Pension Management, pp. 44-46, May 1996.			
©			Paroush, Jacob. "Risk and wealth effects on efficient portfolio." Metroeconomics, vol. 26, No. 1-3, pp. 86-96, 1974.			
©			Voros, J. "Portfolio analysis--An analytic derivation of the efficient portfolio frontier." European Journal of Operations Research, vol. 23, No. 3, pp. 294-300, Mar. 1986.			

<i>Examiner</i>	<i>Date Considered</i>
<i>Thomas A. [Signature]</i>	<i>8/22/02</i>

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US Department of Commerce Patent and Trademark Office		APR 28 2000 O I P E JC92 Docket No.: 002821.P001X	Application No.: 09/495,982
Form PTO-1449 (Modified)		Applicant: Jones et al	#5
		Filing Date: February 1, 2000	

US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
(H)	07/27/99	5,930,774	Chennault	705	36	01/29/96
(B)	08/03/99	5,933,815	Golden	705	35	05/01/95
(B)	09/22/98	5,812,987	Luskin et al.	705	36	03/13/95
(H)	09/08/98	5,806,049	Petruzzi	705	36	09/30/96
(B)	03/16/99	5,884,283	Manos	705	30	09/05/96
(B)	04/11/97	5,884,287	Edesess	705	36	04/11/97
(B)	12/14/99	6,003,018	Michaud et al.	705	36	09/09/98
(B)	10/06/98	5,819,238	Fernholz	705	36	12/13/96
(B)	01/25/00	6,018,722	Ray et al.	705	36	06/19/97
(B)	01/04/00	6,012,042	Black et al.	705	36	08/16/96
(B)	11/16/99	5,987,433	Crapo	705	36	06/03/96
(B)	01/04/00	6,012,043	Albright et al.	705	36	09/09/96
(B)	03/03/87	4,648,037	Valentino	364	408	03/15/84
(B)	07/27/99	5,930,775	McCauley et al.	705	38	01/14/97
(B)	11/23/99	5,991,744	DiCresce	705	36	10/31/97
(B)	11/16/99	5,987,434	Libman	705	36	06/10/96
(B)	06/15/99	5,913,202	Motoyama	705	35	06/13/97
	12/31/96	5,590,037	Ryan et al. copy paper, #4	395	204	09/17/93

Foreign Patent Documents

Examiner's Initials	Document			Sub-		
Initials	Date	Number	Country	Class	Class	Translation
(H)	02/04/99	WO 99/05625	PCT	G06F	17/60	
(B)	12/03/98	WO 98/54666	PCT	G06F	17/60	
(B)	04/01/99	WO 99/15985	PCT	G06F	15/30	
(B)	05/06/99	WO 99/22323	PCT	G06F	17/60	
(B)	02/21/91	WO 91/02326	PCT	G06F	15/21	

Examiner Thomas A. Dorn Date Considered 8/22/02

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 US Department of Commerce Patent and Trademark Office	Atty. Docket No.: 02821.P001X	Application No.: 09/495,982
	Applicant: Jones, et al.	 Filing Date: February 1, 2000

US Patent Documents

Foreign Patent Documents

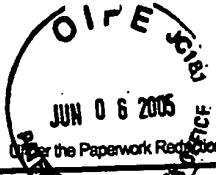
Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

11 Sharpe, William F., AAT Asset Allocation Tools, The Scientific Press, 1985, pp. 84-85; pp. 93-96.

Examiner Thomas A. Do **Date Considered** 10/26/05

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PTO/SB/08a (05-03)

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Substitute for form 1A9A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary).

Sheet 1 of 2

Complete If Known	
Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Art Unit	3829
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US 5,553,212	09-03-1996	Etoh	
		US 5,799,287	08-25-1998	Dembo	
		US 5,907,801	05-25-1999	Albert	
		US 5,918,218	06-29-1999	Harris	
		US 5,978,778	11-02-1999	Oshaughnessy	
		US 6,012,044	01-04-2000	Maggioncalda	
		US 6,021,397	02-01-2000	Jones et al.	
		US 6,078,904	06-20-2000	Rebane	
		US 6,125,355	09-26-2000	Bekaert	
		US 6,275,814	08-14-2001	Giansante	
		US 6,292,787	09-18-2001	Scott	
		US 6,601,044	07-29-2003	Wallmain	

FOREIGN PATENT DOCUMENTS

Examiner Signature	Thomas A. Do	Date Considered	10/20/05
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citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 If possible. 6 Applicant is to place a check mark here if English language Translation is attached.
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet

2 of 2

Complete if Known

Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Art Unit	3629
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59038-249728

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
B		ANONYMOUS., "Interactive Software Eases 401(k) Planning." Bank Marketing. V26. No. 10. 1994; p.56.	
		AUTHOR UNKNOWN., "Interactive Variable Control During Visualization of Mathematical Functions." IBM Technical Disclosure Bulletin. Vol. 34. No. 9. 1992; pp.288-289.	
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		BOWERS, N.L., "Actuarial Mathematics." The Society of Actuaries. 1986; pp.52-59.	
		CARHART, M., "On Persistence in Mutual Fund Performance." The Journal of Finance. Vol. 52. No.1. 1997; pp. 57-82.	
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		MURRAY, G.W. et al. "Practical Optimization." Academic Press. Chapter 5. 1981.	
S		SOCIETY OF ACTUARIES., "1994 Group Annuity Mortality Table and 1994 Group Annuity Reserving Table." Vol. 47. 1994; pp. 865-913.	

Examiner Signature

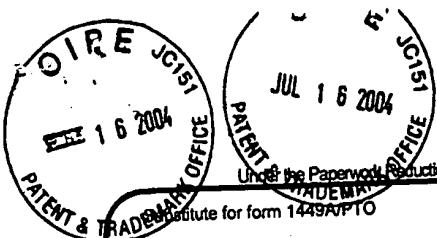
Thomas A. Dixon

Date Considered

10/20/05

citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. 6 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

<p style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(use as many sheets as necessary)</p>				Complete if Known	
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				Examiner Name	Thomas A. Dixon
				Attorney Docket Number	59036-249728

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature	Thomas A. Do	Date Considered	10/20/05
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Signature *[Signature]* *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 2

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		First Named Inventor	Christopher L. Jones et al.
		Group Art Unit	3629
		Examiner Name	Thomas A. Dixon
		Attorney Docket Number	59038-249728

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
P	11	"Interactive Variable Control During Visualization of Mathematical Functions", IBM Technology Disclosure Bulletin, Vol. 34, No. 9, pp. 288-289 (February 1992) – XP002102286	
	12	"Microsoft Excel 97 Intermediate Level Exercise Workbook" Manual, Further Functions, Excel 97 Intermediate, Cheltenham Computer Training, www.cctglobal.com, pp. 26-30 (1995-2001)	
	13	"Elements of Financial Science", Takeaki Kariya, Toyo Keizai Shimpo, K.K., Chapter 5, pp. 71-101 and Chapter 7, pp. 117-133 (September 25, 1997)	

Examiner Signature	from A do	Date Considered	10/20/05
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